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Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

0002/PTO(modified)
Rev. 10/95

U.S. Department of Commerce
Patent and Trademark Office

FEE TRANSMITTAL

TOTAL AMOUNT OF PAYMENTSubtotal (1) + Subtotal (2) + Subtotal (3) = **(\$)575****Complete if Known**

Application Number	09/474,659
Filing Date	December 29, 1999
First Named Inventor	Ting K. Yee
Group Art Unit	2733
Examiner Name	Unknown
Attorney Docket Number	3982 US

METHOD OF PAYMENT

FEE CALCULATION (continued)

1. The Commissioner is hereby authorized to:

- ☐ Charge the indicated fees to the below mentioned deposit account.
- ☒ Charge any additional fee required under 37 CFR 1.16 - 1.21 or credit any over payments to the below mentioned deposit account. [†]
- ☐ Charge the Issue Fee set in 37 CFR 1.18 at the Mailing of the Notice of Allowance, 37 CFR 1.311(b) to the below mentioned deposit account.

Deposit Account Number: 19-2555

Deposit Account Name: FENWICK & WEST LLP

A Duplicate Copy of this authorization is attached

2. ☒ **Payment Enclosed:**

☒ Check ☐ Other

FEE CALCULATION (fees effective 11/12/98)

1. FILING FEE

<u>Large Entity</u>	<u>Small Entity</u>	<u>Fee</u>	<u>Fee</u>
Fee	Fee	Description	Due
Code/Fee	Code/Fee		
101/ \$690	201/ \$345	Utility Filing	345
106/ \$310	206/ \$155	Design Filing	
108/ \$690	208/ \$345	Reissue	
114/ \$150	214/ \$75	Provisional Filing	

SUBTOTAL (1)	(\$)<u>345</u>
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2. CLAIMS

<u>Large Entity</u> Fee Code/Fee	<u>Small Entity</u> Fee Code/Fee	Fee Description
103/ \$18	203/ \$9	Claims in excess of 20
102/ \$78	202/ \$39	Independent claims in excess of 3
104/ \$260	204/ \$130	Multiple dependent claim
109/ \$78	209/ \$39	Reissue independent claims over original patent
110/ \$18	210/ \$9	Reissue claims in excess of 20 and over original patent

3. ADDITIONAL FEES

Large Entity Fee Code/Fee	Small Entity Fee Code/Fee	Fee Description	Fee Due
105/ \$130	205/ \$65	Surcharge - late filing fee or oath	<input type="text"/>
127/ \$50	227/ \$25	Surcharge-late provisional filing fee or cover sheet	<input type="text"/>
147/ \$2,520	147/ \$2,520	For filing a request for reexamination	<input type="text"/>
115/ \$110	215/ \$55	Extension for response within first month [†]	<input type="text"/>
116/ \$380	216/ \$190	Extension for response within second month [†]	<input type="text"/>
117/ \$870	217/ \$435	Extension for response within third month [†]	<input type="text"/>
118/ \$1,360	218/ \$680	Extension for response within fourth month [†]	<input type="text"/>
128/ \$1,850	228/ \$925	Extension for response within fifth month [†]	<input type="text"/>
119/ \$300	219/ \$150	Notice of Appeal	<input type="text"/>
141/ \$1,210	241/ \$605	Petition to revive unintentionally abandoned application	<input type="text"/>
142/ \$1,210	242/ \$605	Utility Issue Fee (Or Reissue)	<input type="text"/>
143/ \$430	243/ \$215	Design Issue Fee	<input type="text"/>
122/ \$130	122/ \$130	Petitions to the Commissioner	<input type="text"/>
123/ \$50	123/ \$50	Petitions related to provisional applications	<input type="text"/>
126/ \$240	126/ \$240	Submission of Information Disclosure Statement	<input type="text"/>
581/ \$40	581/ \$40	Recording each patent assignment per property (times number of properties)	<input type="text"/>
146/ \$690	246/ \$345	Filing a submission after final rejection (37 CFR 1.129(a))	<input type="text"/>
149/ \$690	249/ \$345	For each additional invention to be examined (37 CFR 1.129(b))	<input type="text"/>

Other fee (specify): Notice to file missing parts surcharge

Other fee (specify):

SUBTOTAL (3) (\$65

(Col. 1)			(Col. 2)		(Col. 3)			
For	No. of Existing Claims		Highest No. Previously Paid For		Extra**		Fee	Fee Due
TOTAL	34	minus*	20 or 0	=	14	x	9	126
INDEP	4	minus*	3 or 0	=	1	x	39	39
[] First presentation of multiple dependent claim								0

* Subtract the greater number of Col. 2

**** If the difference between Col. 1 and Col. 2 is less than zero, then enter "0" in Col. 3**

SUBTOTAL (2) **(\$)**165

SUBMITTED BY

Typed or Printed Name	Michael W. Farn
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Signature

Michael W. F

Complete (if applicable)

Reg. Number	41,015
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Date _____

March 14, 2000



UNITED STATES DEPARTMENT OF COMMERCE
Patent and Trademark Office

Address: COMMISSIONER OF PATENTS AND TRADEMARKS
Washington, D.C. 20231

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NO./TITLE
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09/474,659 12/29/99 YEE T 3982-US

MICHAEL W. FARN
FENWICK & WEST LLP
TWO PALO ALTO SQUARE
PALO ALTO CA 94306

0222/0214



2733

DATE MAILED:

02/14/00

NOTICE TO FILE MISSING PARTS OF APPLICATION

Filing Date Granted

An Application Number and Filing Date have been assigned to this application. The items indicated below, however, are missing. Applicant is given **TWO MONTHS FROM THE DATE OF THIS NOTICE** within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a). If any of items 1 or 3 through 5 are indicated as missing, the **SURCHARGE** set forth in 37 CFR 1.16(e) of ☐ \$65.00 for a small entity in compliance with 37 CFR 1.27, or ☒ \$130.00 for a non-small entity, must also be timely submitted in reply to this NOTICE to avoid abandonment.

If all required items on this form are filed within the period set above, the total amount owed by applicant as a ☐ small entity (statement filed) ☒ non-small entity is \$ 1150.

☒ 1. The statutory basic filing fee is:

- ☒ missing
☐ insufficient

Applicant must submit \$ 690 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).

☐ 2. The following additional claims fees are due:

\$ 252 for 14 total claims over 20.

\$ 78 for 1 independent claims over 3.

\$ 0 for multiple dependent claim surcharge.

Applicant must either submit the additional claim fees or cancel additional claims for which fees are due.

☒ 3. The oath or declaration:

- ☒ is missing or unsigned.
☐ does not cover the newly submitted items.

An oath or declaration in compliance with 37 CFR 1.63, including residence information and identifying the application by the above Application Number and Filing Date is required.

☐ 4. The signature(s) to the oath or declaration is/are by a person other than inventor or person qualified under 37 CFR 1.42, 1.43 or 1.47.

A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.

☐ 5. The signature of the following joint inventor(s) is missing from the oath or declaration:

An oath or declaration in compliance with 37 CFR 1.63 listing the names of all inventors and signed by the omitted inventor(s), identifying this application by the above Application Number and Filing Date, is required.

☐ 6. A \$50.00 processing fee is required since your check was returned without payment (37 CFR 1.21(m)).

☐ 7. Your filing receipt was mailed in error because your check was returned without payment.

☐ 8. The application was filed in a language other than English.

Applicant must file a verified English translation of the application, the \$130.00 set forth in 37 CFR 1.17(k), unless previously submitted, and a statement that the translation is accurate (37 CFR 1.52(d)).

☐ 9. OTHER:

Direct the reply and any questions about this notice to "Attention: Box Missing Parts."

A copy of this notice MUST be returned with the reply.

Customer Service Center

Patent Examination Division (700) 200-1200

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22/2000 ASAMILE

345.00 DP
65.00 DP
126.00 DP
39.00 DP

FC:201
FC:205
FC:203
FC:202



IN THE UNITED STATES
PATENT AND TRADEMARK OFFICE

APPLICANT(S): Ting K. Yee and Peter Chang
SERIAL NO.: 09/474,659
FILING DATE: December 29, 1999
TITLE: OPTICAL COMMUNICATIONS USING HETERODYNE DETECTION
EXAMINER: Unknown
GROUP ART UNIT: 2733
ATTY. DKT. NO.: 3982 US

CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner For Patents, Washington, D.C. 20231, on the date shown below:

Dated: March 14, 2000

By: Michael W. Farn

Michael W. Farn, Reg. No. 41,015

BOX MISSING PARTS
ASSISTANT COMMISSIONER FOR PATENTS
WASHINGTON, D.C. 20231

**RESPONSE TO NOTICE TO FILE MISSING
PARTS OF APPLICATION**

SIR:

Responsive to Form PTO-1533 dated February 14, 2000 received in the above-identified patent application, enclosed are:

- ☒ a copy of the Notice to File Missing Parts;
- ☒ an original, signed Declaration;
- ☒ a signed Verified Statement

- ☐ Applicant respectfully submits that since this application was entitled to Small Entity Status when filed, as established with the enclosed original, signed, Verified Statement, the fee for filing as a large entity as indicated in the Notice to File Missing Parts is inappropriate

and that the filing fee submitted with this application as originally
filed is sufficient to cover the filing fees for this application;

- ☒ payment in the amount of \$575 for the surcharge and for the original filing fee;
☐ Other:

Respectfully submitted,
TING K. YEE AND PETER CHANG

Dated: March 14, 2000

By: Michael W. Farn
Michael W. Farn, Reg. No. 41,015
Fenwick & West LLP
Two Palo Alto Square
Palo Alto, CA 94306
Tel.: (650) 858-7823
Fax: (650) 494-1417